QTSO MEMORANDUM

MEMO NUMBER: 2010-186

TO: QIES State Coordinators

CC: CMS Central and Regional Office Contacts

FROM: Jean Eby, QIES Technical Support Office

DATE: November 3, 2010

SUBJECT: **MDS 3.0 Submission, Submission Status, and Final Validation Reports Helpful Hints Document**

Attached with this memo is an MDS 3.0 Helpful Hints document. This document is an overview for MDS and SB providers of the steps required to submit an MDS 3.0 file, verify its submission status, and obtain a Final Validation report.

If you have any questions concerning this information, please contact the QTSO Help Desk at help@qtso.com or 1 (888) 477-7876.

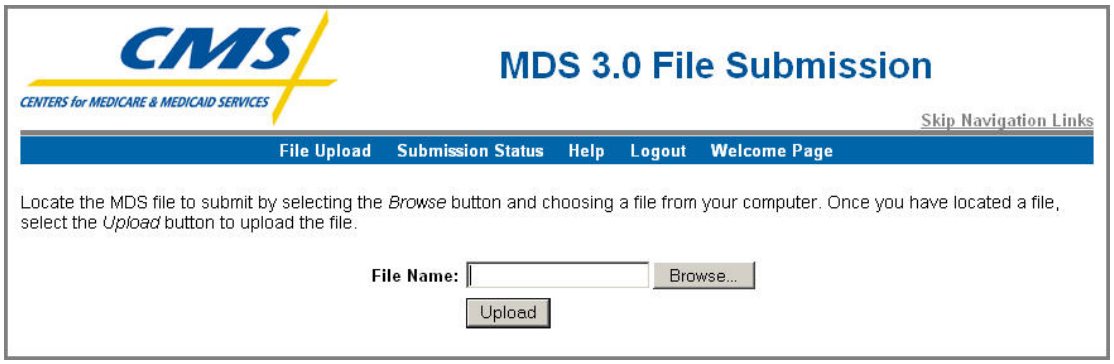
MDS 3.0 Submission, Submission Status, and Final Validation Reports Helpful Hints

NOTE: This document is an overview for MDS providers of the steps required to submit an MDS 3.0 file, verify its submission status, and obtain a Final Validation report. It is strongly recommended that providers access and review the MDS 3.0 Provider User's Guide and the CASPER Reporting User's Manual from the **MDS 3.0 Welcome** page, which is accessed from your state's **MDS Welcome** page.

File Submission

1. Log in to the MDS 3.0 File Submission System using your individual user ID (MDSxxxxxxx or SWBxxxxxxx). Upon successful log in to the MDS 3.0 File Submission system, the **File Upload** page (Figure 1) is presented.

Figure 1. MDS 3.0 File Submission File Upload Page


CMS
CENTERS for MEDICARE & MEDICAID SERVICES
MDS 3.0 File Submission
Skip Navigation Links
File Upload
Submission Status
Help
Logout
Welcome Page
Locate the MDS file to submit by selecting the Browse button and choosing a file from your computer. Once you have located a file, select the Upload button to upload the file.
File Name:
Browse...
Upload

2. Select the Browse button to locate the MDS 3.0 file you wish to submit and select the Upload button to upload the zipped submission file.
3. Once the ASAP System receives the submission file, a pop up dialog box appears stating the upload has been completed.

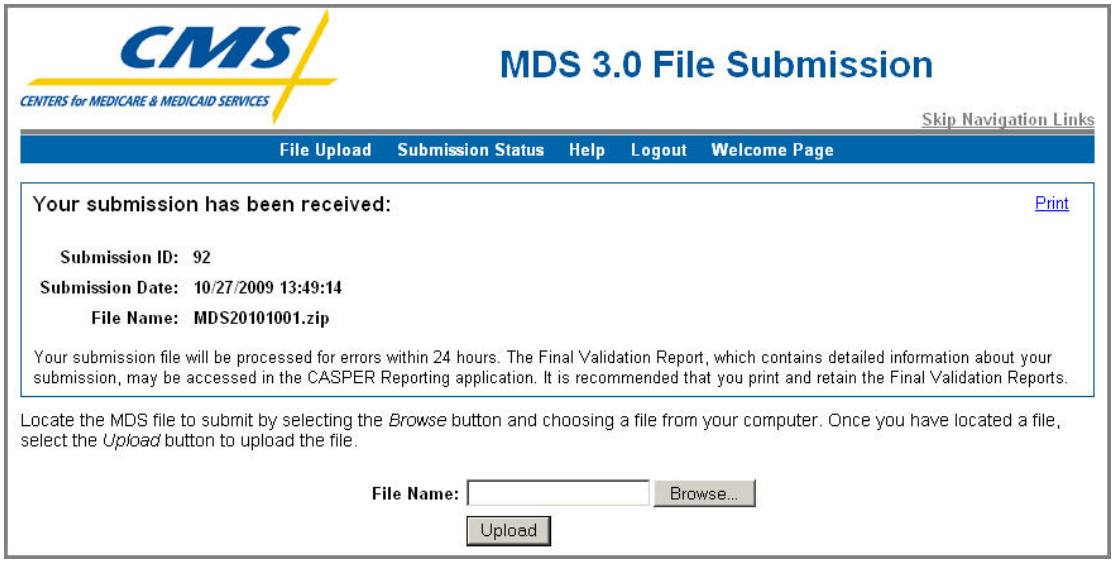
Figure 2. Upload Completed Pop-Up Dialog Box

NOTE: The Upload Completed message only indicates the ASAP system received the uploaded file. It does NOT indicate the records were edited and the file was successfully accepted by the ASAP System. Access the **Submission Status** page to determine if the file has completed processing.

4. Select the **OK** button. The pop-up dialog box closes. You are returned to the **File Upload** page that now displays "Your submission has been received" and includes the system-assigned Submission ID, the date and time of the submission and the name of the file you submitted. Select the Print link from the right-hand side of the page to print and retain this information for future reference.

NOTE: It is important that you know the Submission ID and Submission Date associated with the file you just submitted. You must use the Submission ID in subsequent steps of the submission file validation process.

Figure 3. Your Submission Has Been Received Message


CMS
CENTERS for MEDICARE & MEDICAID SERVICES
MDS 3.0 File Submission
Skip Navigation Links
File Upload
Submission Status
Help
Logout
Welcome Page
Your submission has been received:
Print
Submission ID: 92
Submission Date: 10/27/2009 13:49:14
File Name: MDS20101001.zip
Your submission file will be processed for errors within 24 hours. The Final Validation Report, which contains detailed information about your submission, may be accessed in the CASPER Reporting application. It is recommended that you print and retain the Final Validation Reports.
Locate the MDS file to submit by selecting the Browse button and choosing a file from your computer. Once you have located a file, select the Upload button to upload the file.
File Name:
Browse...
Upload

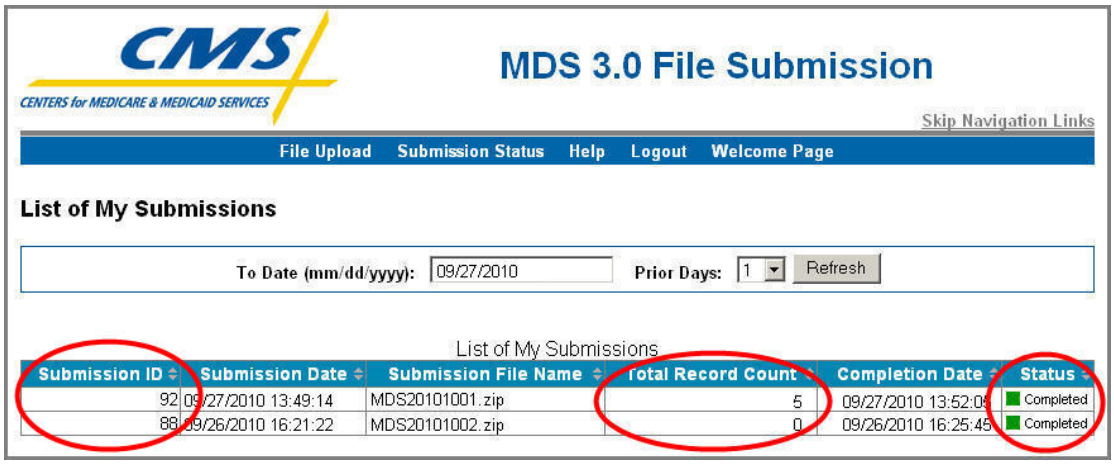
NOTE: Once a file is submitted, please remember that it may take up to 24-hours to process your submission. When processing is complete, you can return to the MDS 3.0 Submission system to verify the status of the file and then proceed with locating the Final Validation report in the CASPER Reporting application

File Submission Status

To determine if your submission file was processed successfully, verify the status of your submission in the following manner:

1. Log in to the MDS 3.0 File Submission System using your individual user ID (MDSxxxxxxx or SWBxxxxxxx). Upon successful log in to the MDS 3.0 File Submission system, the **File Upload** page (Figure 1, above) is presented.
2. Select the Submission Status link located on the menu bar on the MDS 3.0 File Submission **File Upload** page. The **List of My Submissions** page (Figure 4) is presented.

Figure 4. List of My Submissions



The **List of My Submissions** page provides the following information:

- Submission ID – the unique ID assigned to the submission file
- Submission Date – the date and time that the submission file was received by the system.
- Submission File Name – the name of the submission file
- Total Record Count – the count of records contained in the submission file.
- Completion Date – the date and time that the file processing was complete.
- Status – the status of the file processing. The following status values may display:
  - Waiting - the submission file is waiting to be processed
  - Processing - the submission file is processing
  - Error - an error occurred during processing of the submission file
  - Completed - file submission processing is complete

3. Locate your submission file by the *Submission ID* assigned to it and verify that the *Status* is “Completed”.

4. For submission files with a “Completed Status”, verify the number in the *Total Record Count* column.

    - When the ***Status*** **is “Completed” and the *Total Record Count* is zero (0)**, a system-generated MDS 3.0 NH (or SB) Final Validation report is NOT generated. The ASAP system **cannot** produce a system-generated MDS 3.0 NH (or SB) Final Validation report. You will **not** find an MDS 3.0 NH (or SB) Final Validation report in your facility’s CASPER validation reports (VR) folder. An MDS 3.0 Submitter Final Validation Report can be requested to identify the severe error(s); however only one of the following 2 errors will be on the Submitter Validation Report:

      When the Total Record Count is zero (0) there are only two severe error messages associated with this:

      Error -1001 Invalid Zip File: Unable to unzip submitted file

      Error -1002 Invalid Zip File: Zip file contained no files

      Note: These errors require the user to notify their software vendor for assistance.

      Please see additional information below about the MDS 3.0 Submitter Final Validation Report.

    - When the ***Status*** **is “Completed” and the *Total Record Count* is greater than zero (0)**, the ASAP system was able to unzip the file and find records in the file. View the system-generated MDS 3.0 NH (or SB) Final Validation report to verify that all records processed without error. You will find an MDS 3.0 NH (or SB) Final Validation report in your facility’s VR folder. You must review your MDS 3.0 NH (or SB) Final Validation report in order to verify that all records of your submission file processed without error.

      If you cannot locate an MDS 3.0 NH (or SB) Final Validation report in your facility’s VR folder or all records in the submission file are not listed on the Final Validation Report, then for the records not listed on the Final Validation Report the ASAP system could not determine what provider the records belonged to so could not put them on the provider’s Final Validation Report. To view the errors for these records, the submitter must run the MDS 3.0 Submitter Validation Report.

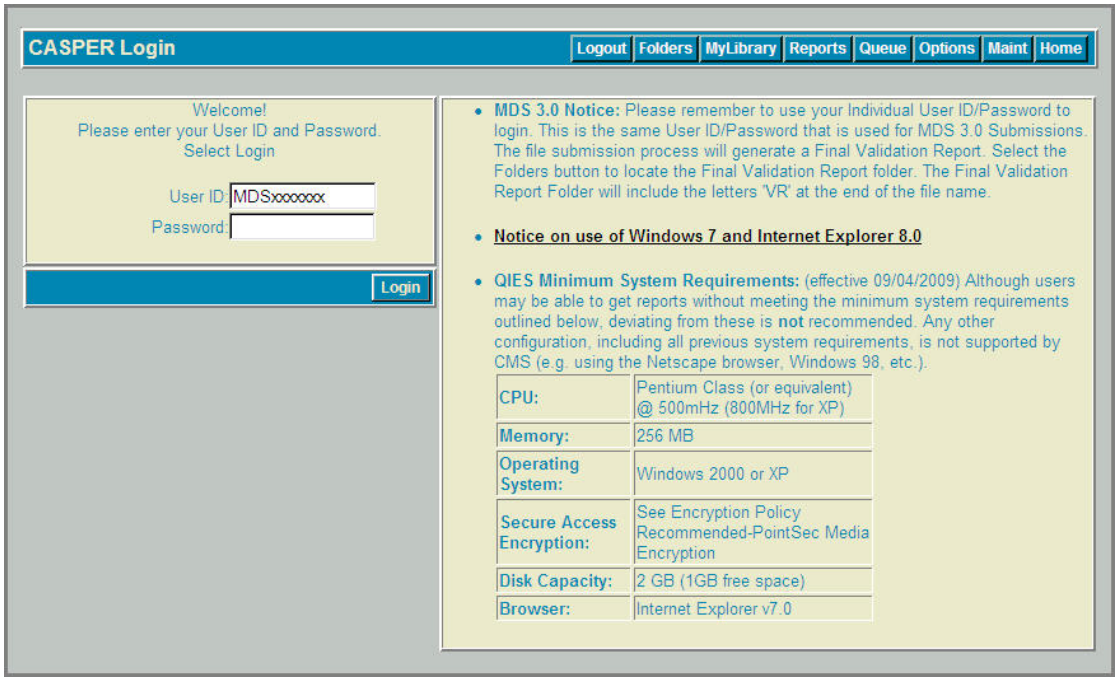
System-Generated MDS 3.0 NH (or SB) Final Validation Report

The following steps detail how to view the system-generated MDS 3.0 NH (or SB) Final Validation report in the CASPER Reporting application:

NOTE: When the *Submission Status* is "Completed" and the *Total Record Count* is greater than zero (0), view the system-generated MDS 3.0 NH (or SB) Final Validation report to verify that all records processed without error.

1. Log in to the CASPER Reporting application (Figure 5) with your individual user ID/password. This is the same user ID/password (MDSxxxxxxx or SWBxxxxxxx) with which you access the MDS 3.0 Submission system.

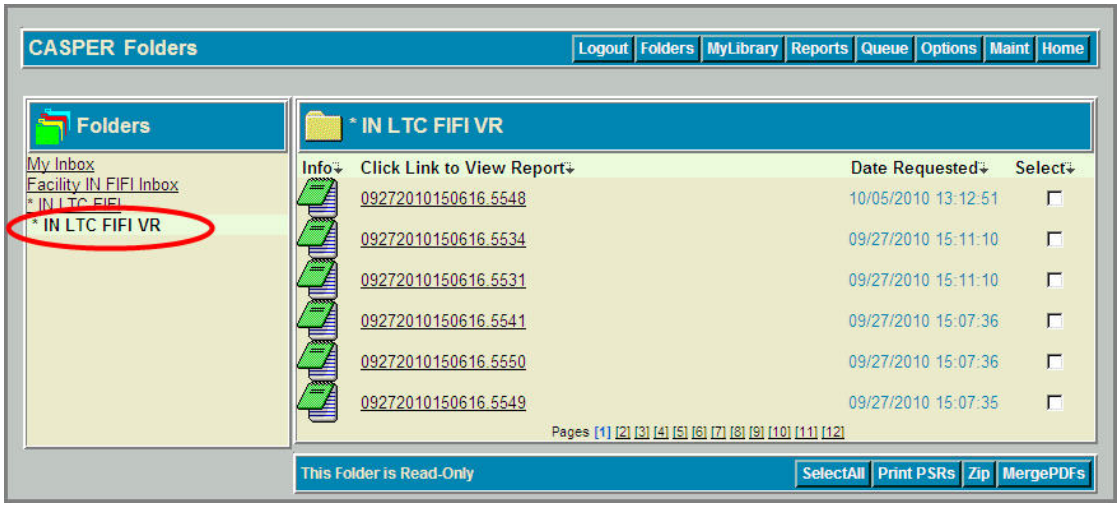
Figure 5. CASPER Reporting Login Page


CASPER Login
Logout
Folders
MyLibrary
Reports
Queue
Options
Maint
Home
Welcome!
Please enter your User ID and Password.
Select Login
User ID:
MDSxxxxxxx
Password:
Login
MDS 3.0 Notice: Please remember to use your Individual User ID/Password to login. This is the same User ID/Password that is used for MDS 3.0 Submissions. The file submission process will generate a Final Validation Report. Select the Folders button to locate the Final Validation Report folder. The Final Validation Report Folder will include the letters 'VR' at the end of the file name.
Notice on use of Windows 7 and Internet Explorer 8.0
QIES Minimum System Requirements: (effective 09/04/2009) Although users may be able to get reports without meeting the minimum system requirements outlined below, deviating from these is not recommended. Any other configuration, including all previous system requirements, is not supported by CMS (e.g. using the Netscape browser, Windows 98, etc.).
CPU: Pentium Class (or equivalent) @ 500mHz (800MHz for XP)
Memory: 256 MB
Operating System: Windows 2000 or XP
Secure Access Encryption: See Encryption Policy Recommended-PointSec Media Encryption
Disk Capacity: 2 GB (1GB free space)
Browser: Internet Explorer v7.0

NOTE: If you log in with the old MDS 2.0 shared facility login ID you will not be able to see the new shared VR folder containing the system-generated MDS 3.0 NH Final Validation report or the other MDS 3.0 NH reporting categories.

2. Select the **Folders** button located on the tool bar across the top of the page. The **CASPER Folders** page (Figure 6) is presented. The folders available to you are along the left-hand side of the page.

Figure 6. CASPER Folders Page – Validation Report Folder



3. Locate and select the facility folder with the naming structure of:

   [State Code] LTC [Facility ID] VR (for Nursing Homes)

   Or

   [State Code] SB [Facility ID] VR (for Swing Bed Providers)

   State Code = your 2-character state code
   LTC = Long Term Care facility
   SB = Swing Bed hospital
   Facility ID = State assigned facility ID used for submitting MDS 2.0 and MDS 3.0 records
   VR = Validation Report

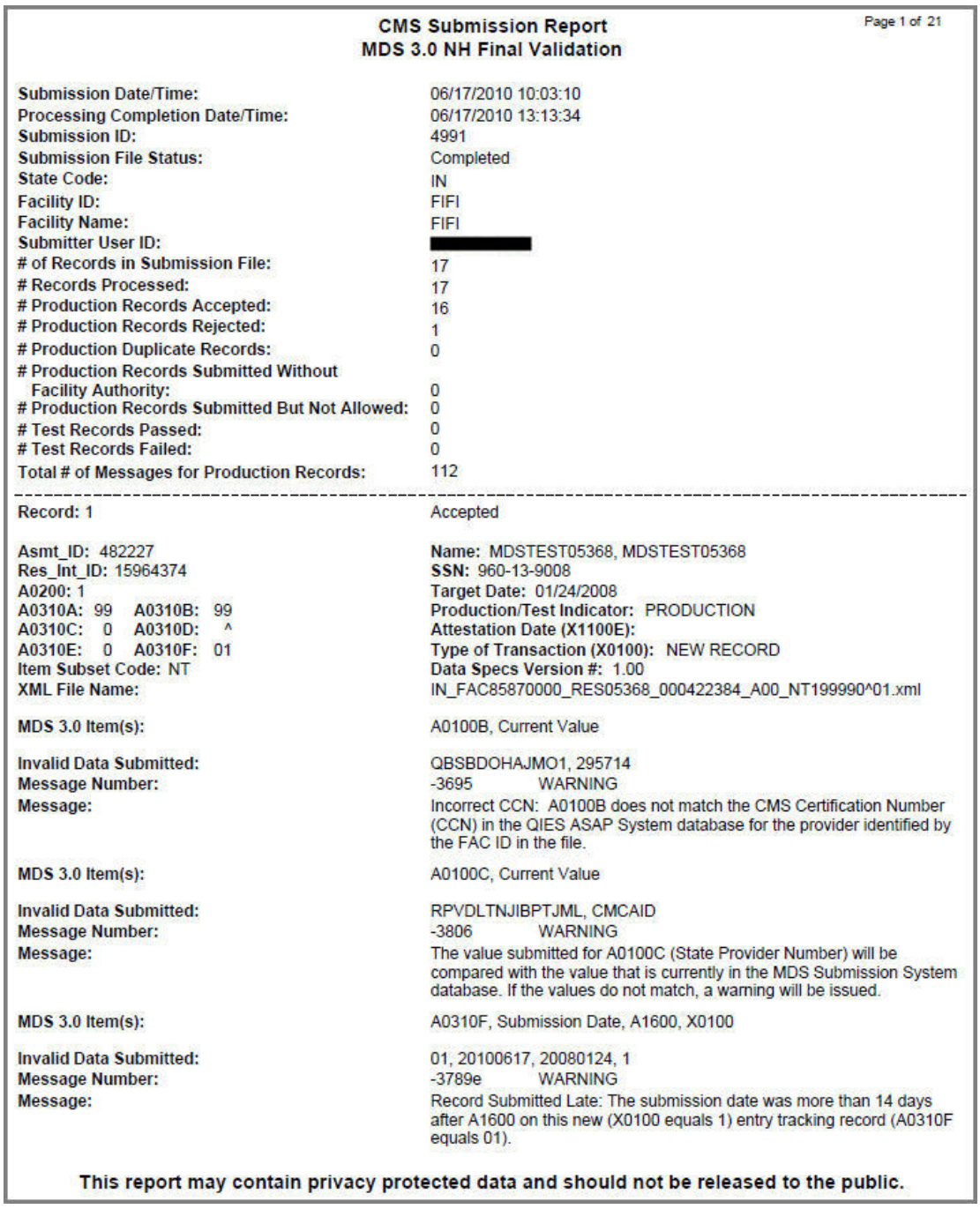
4. With the VR folder selected, the main body of the page lists the Final Validation reports that were system-generated and are available for you to view. The report names are formatted as follows:

   [Submission Date & Time].[Submission ID]

5. Select the report that corresponds to the submission file you wish to verify. Figure 7 depicts a fictional system-generated MDS 3.0 NH Final Validation report.

NOTE: The MDS 3.0 NH (or SB) Final Validation Report will not be available in your facility's shared VR folder when the file could not be unzipped or contained no records (record count on the Submission Status screen was zero). Additionally, if the number of records displayed on the system-generated MDS 3.0 NH (or SB) Final Validation Report is less than the number of records you submitted in the file, there were one or more records that could not be processed by the ASAP system. In this case, you must request the **MDS 3.0 Submitter Final Validation** report to identify the issues with the records that were not processed.

Figure 7. MDS 3.0 NH Final Validation Report



CMS Submission Report
MDS 3.0 NH Final Validation

Page 1 of 21

Submission Date/Time:	06/17/2010 10:03:10
Processing Completion Date/Time:	06/17/2010 13:13:34
Submission ID:	4991
Submission File Status:	Completed
State Code:	IN
Facility ID:	FIFI
Facility Name:	FIFI
Submitter User ID:	[redacted]
# of Records in Submission File:	17
# Records Processed:	17
# Production Records Accepted:	16
# Production Records Rejected:	1
# Production Duplicate Records:	0
# Production Records Submitted Without Facility Authority:	0
# Production Records Submitted But Not Allowed:	0
# Test Records Passed:	0
# Test Records Failed:	0
Total # of Messages for Production Records:	112

Record: 1 — Accepted

Asmt_ID: 482227
Res_Int_ID: 15964374
A0200: 1
A0310A: 99 **A0310B:** 99
A0310C: 0 **A0310D:** ^
A0310E: 0 **A0310F:** 01
Item Subset Code: NT
XML File Name: IN_FAC85870000_RES05368_000422384_A00_NT199990^01.xml

Name: MDSTEST05368, MDSTEST05368
SSN: 960-13-9008
Target Date: 01/24/2008
Production/Test Indicator: PRODUCTION
Attestation Date (X1100E):
Type of Transaction (X0100): NEW RECORD
Data Specs Version #: 1.00

MDS 3.0 Item(s): A0100B, Current Value

Invalid Data Submitted: QBSBDOHAJMO1, 295714
Message Number: -3695 WARNING
Message: Incorrect CCN: A0100B does not match the CMS Certification Number (CCN) in the QIES ASAP System database for the provider identified by the FAC ID in the file.

MDS 3.0 Item(s): A0100C, Current Value

Invalid Data Submitted: RPVDLTNJIBPTJML, CMCAID
Message Number: -3806 WARNING
Message: The value submitted for A0100C (State Provider Number) will be compared with the value that is currently in the MDS Submission System database. If the values do not match, a warning will be issued.

MDS 3.0 Item(s): A0310F, Submission Date, A1600, X0100

Invalid Data Submitted: 01, 20100617, 20080124, 1
Message Number: -3789e WARNING
Message: Record Submitted Late: The submission date was more than 14 days after A1600 on this new (X0100 equals 1) entry tracking record (A0310F equals 01).

This report may contain privacy protected data and should not be released to the public.

NOTE: For more information about the MDS 3.0 Final Validation reports that are available to nursing homes and swing bed hospitals, refer to the *MDS 3.0 NH Final Validation Reports* (Section 7) or *MDS 3.0 SB Final Validation Reports* (Section 9) of the CASPER Reporting User's Manual for MDS Providers. This manual is available on the **MDS 3.0 Welcome** page.

MDS 3.0 Submitter Final Validation Report

For the instances when the ASAP system cannot produce the system-generated MDS 3.0 Final Validation report or include all records on the generated MDS 3.0 Final Validation report, you can request an MDS 3.0 Submitter Final Validation Report in order to determine why the ASAP system could not process these records.

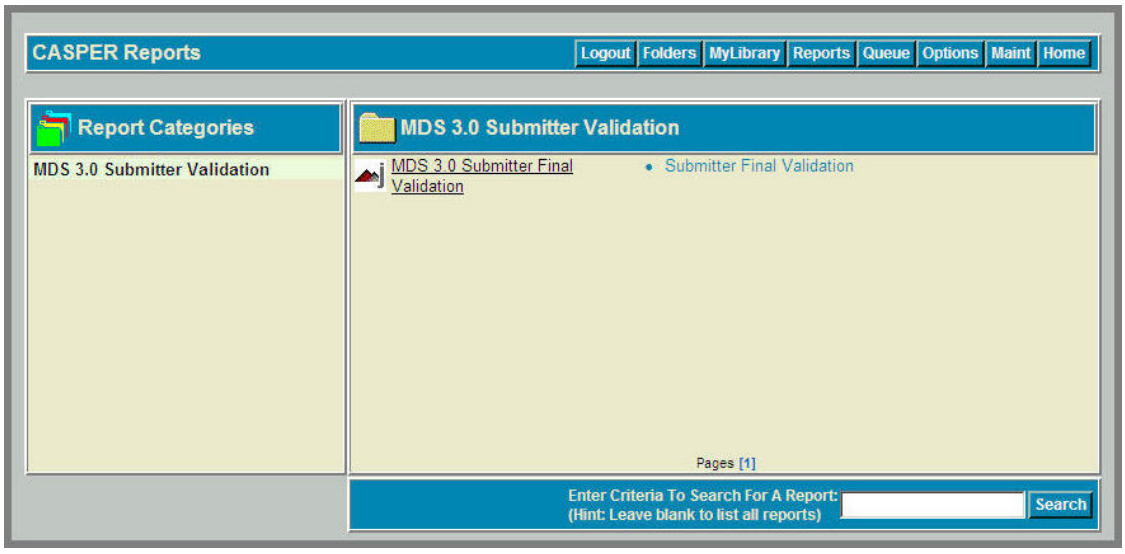
The following steps identify how to request and view the MDS 3.0 Submitter Final Validation report:

1. Log into the CASPER Reporting application with your individual user ID/password (Figure 5, above). This is the same user ID/password (MDSxxxxxxx or SWBxxxxxxx) that is used for MDS 3.0 Submissions.

NOTE: If you log in with the old MDS 2.0 shared facility login ID you will not be able to see the new shared VR folder containing the system-generated MDS 3.0 NH Final Validation report or the other MDS 3.0 NH reporting categories.

2. Select the **Reports** button. The **CASPER Reports** page (Figure 8) is presented.

Figure 8. CASPER Reports Page

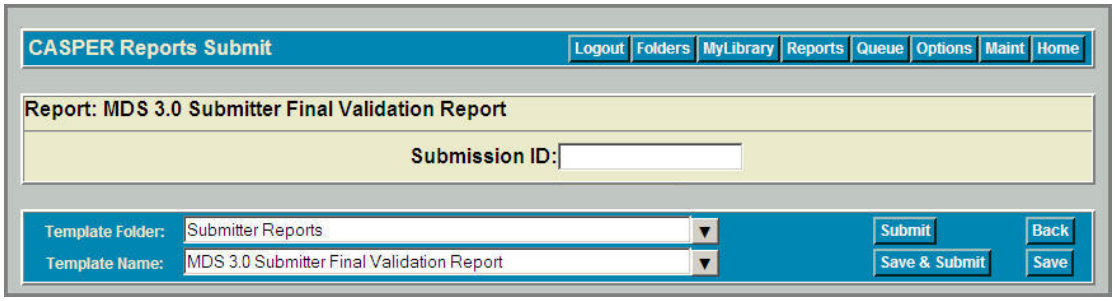


3. Select the MDS 3.0 Submitter Validation report category link from the *Report Categories* frame on the left. A link to the MDS 3.0 Submitter Final Validation report displays in the right-hand frame.

NOTE: Only those report categories to which you specifically have access are listed in the *Report Categories* frame.

4. Select the MDS 3.0 Submitter Final Validation link from the right-hand frame. The **CASPER Reports Submit** page (Figure 9) is presented.

Figure 9. CASPER Reports Submit Page

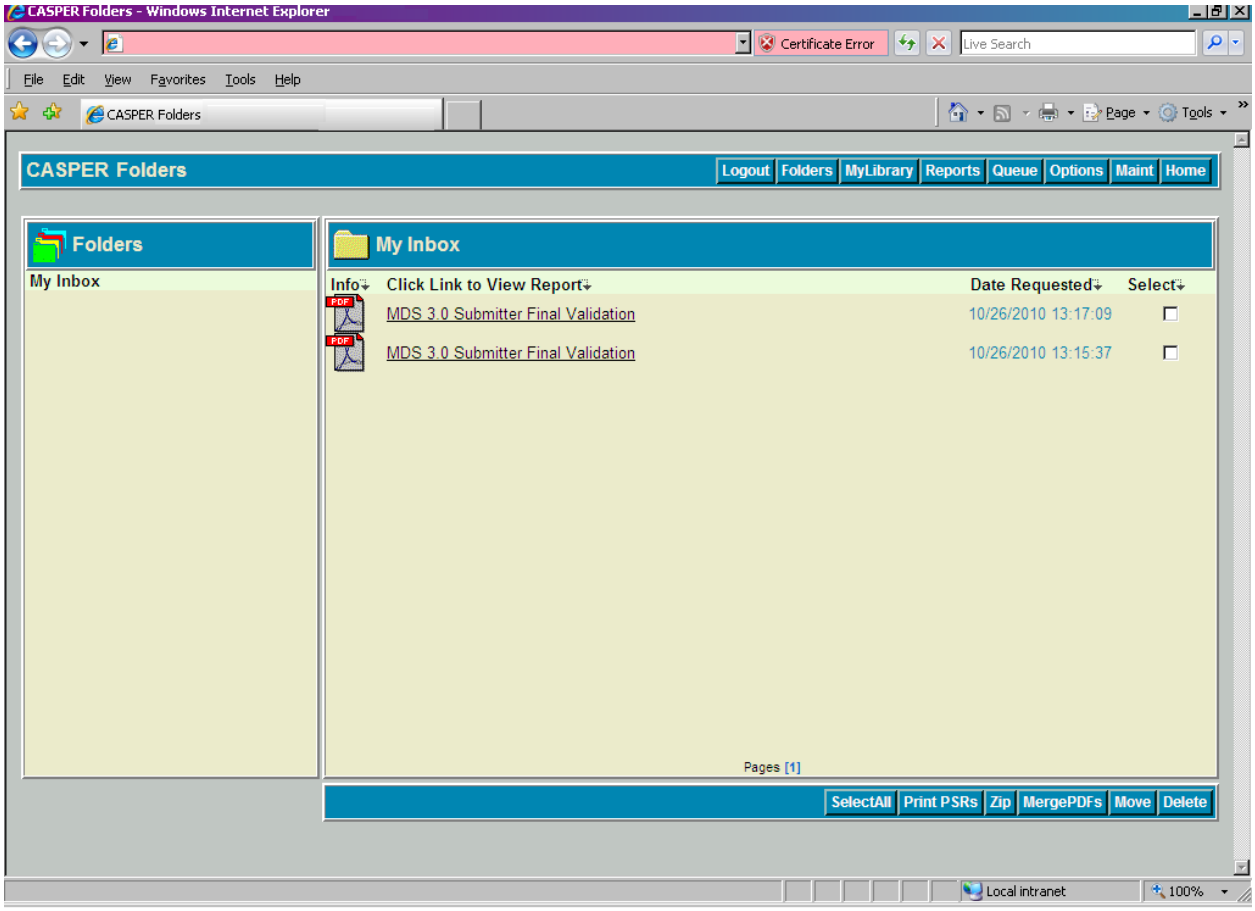


5. Enter the desired submission ID in the *Submission ID* field and select the **Submit** button.

NOTE: You may only request the MDS 3.0 Submitter Validation report for files submitted with your individual user ID (MDSxxxxxxx or SWBxxxxxxx). You cannot request the MDS 3.0 Submitter Final Validation report if you did not submit the file. If you request a file you did not originally submit you will get an "Invalid User ID" message and the request will not be processed.

6. The completed MDS 3.0 Submitter Validation report is placed in the *My Inbox* folder in the CASPER Reporting Application. To access this folder, select the **Folders** button. The **CASPER Folders** page (Figure 6, above) is presented. The folders available to you, including the *My Inbox* folder, are listed along the left-hand side of the page.
7. Using the Submission Date and Time and Submission ID assigned to your submission file, find and select the corresponding MDS 3.0 Submitter Final Validation report to view. You may locate the desired report by selecting the icon that displays next to the report name.

Figure 10. MDS 3.0 Submitter Final Validation Reports



8. Below are some of the most common severe errors that are occurring in MDS 3.0 file processing. When these errors are encountered, the ASAP system **cannot** produce a system-generated MDS 3.0 NH (or SB) Final Validation report. You will **not** find an MDS 3.0 NH (or SB) Final Validation report in your facility's VR folder. These errors will only be displayed on the MDS 3.0 Submitter Validation Reports:

    - -1001 Invalid Zip file format (no generated FVR)
    - -1002 Empty Zip file (no generated FVR)
    - -1004 Invalid XML file format (record not on generated FVR)
    - -1008 Missing or invalid State Code (record not on generated FVR)
    - -1009 Missing or invalid Transaction Type code (record not on generated FVR)
    - -1010 Missing or invalid Provider Type Code (record not on generated FVR)
    - -3693a Invalid Fac_ID (record not on generated FVR)

NOTE: While the severe errors listed above are the most common, this is not a comprehensive listing. To view a complete listing of errors that prevent the ASAP system from producing the system-generated MDS 3.0 NH (or SB) Final Validation report, please refer to Section 5 of the MDS 3.0 Provider's User Guide available on the **MDS 3.0 Welcome** page, which can be accessed from your state's **MDS Welcome** page.

NOTE: It is strongly recommended that providers access and review the MDS 3.0 Provider User's Guide and the CASPER Reporting User's Manual. For additional assistance, contact the QIES Technical Support Office (QTSO) Help Desk at 1-800-339-9313 or Help@QTSO.com.